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jc827 U.S. PTO

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PTO/SB/05 (4/98)  
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| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><i>(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))</i> | <b>Attorney Docket No.</b> YOR9-2000-0093US1 (8728-357)          |
|  | <b>First Inventor or Application Identifier</b> Chaudhari et al. |
|  | <b>Title</b> SYSTEM AND METHOD FOR CONFIDENCE BASED              |
|  | <b>Express Mail Label No.</b> EL434031878US                      |

| APPLICATION ELEMENTS<br><i>See MPEP chapter 600 concerning utility patent application contents.</i>  | ADDRESS TO: Assistant Commissioner for Patents<br>Box Patent Application<br>Washington, DC 20231   |  |
|--|--|--|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br><i>(Submit an original and a duplicate for fee processing)</i>  | 5. <input type="checkbox"/> Microfiche Computer Program (Appendix)   |  |
| 2. <input checked="" type="checkbox"/> Specification [Total Pages 35]<br><i>(preferred arrangement set forth below)</i> <ul style="list-style-type: none"><li>- Descriptive title of the invention</li><li>- Cross References to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to Microfiche Appendix</li><li>- Background of the invention</li><li>- Brief Summary of the invention</li><li>- Brief Description of the Drawings (if filed)</li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul>  | 6. Nucleotide and/or Amino Acid Sequence Submission<br><i>(if applicable, all necessary)</i> <ul style="list-style-type: none"><li>a. <input type="checkbox"/> Computer Readable Copy</li><li>b. <input type="checkbox"/> Paper Copy (identical to computer copy)</li><li>c. <input type="checkbox"/> Statement verifying identity of above copies</li></ul>   |  |
| 3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 6]   | <b>ACCOMPANYING APPLICATION PARTS</b><br>7. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))<br>8. <input type="checkbox"/> 37 C.F.R. §3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney<br><i>(when there is an assignee)</i><br>9. <input type="checkbox"/> English Translation Document <i>(if applicable)</i><br>10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations<br>11. <input type="checkbox"/> Preliminary Amendment<br>12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br><i>(Should be specifically itemized)</i><br>* Small Entity<br>13. <input type="checkbox"/> Statement(s) <input type="checkbox"/> Statement filed in prior application, Status still proper and desired<br><i>(PTO/SB/09-12)</i><br>14. <input type="checkbox"/> Certified Copy of Priority Document(s)<br><i>(if foreign priority is claimed)</i><br>15. <input checked="" type="checkbox"/> Other: Associate Power of Attorney |  |
| 4. Oath or Declaration [Total Pages 2] <ul style="list-style-type: none"><li>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</li><li>b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d))<br/><i>(for continuation/divisional with Box 16 completed)</i><ul style="list-style-type: none"><li>i. <input type="checkbox"/> DELETION OF INVENTOR(S)<br/>Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).</li></ul></li></ul>  |  |  |
| <b>* NOTE FOR ITEMS 1 &amp; 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.37), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.38).</b>   |  |  |
| 16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:<br><input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No: _____<br>Prior application information: Examiner _____ Group / Art Unit: _____<br><b>For CONTINUATION or DIVISIONAL APPS only:</b> The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts. |  |  |

|   |   |           |              |          |              |
|---|---|-----------|--------------|----------|--------------|
| <b>17. CORRESPONDENCE ADDRESS</b>   |   |           |              |          |              |
| <input type="checkbox"/> Customer Number or Bar Code Label _____ or <input type="checkbox"/> Correspondence address below _____<br><i>(Insert Customer No. or Attach bar code label here)</i> |   |           |              |          |              |
| Name  | Frank V. DeRosa   |           |              |          |              |
| Address   | F. Chau & Associates, LLP<br>1900 Hempstead Turnpike, Suite 501 |           |              |          |              |
| City  | East Meadow   | State     | New York     | Zip Code | 11554        |
| Country   | USA   | Telephone | 516-357-0091 | Fax      | 516-357-0092 |

|                   |                        |                                   |        |
|-------------------|------------------------|-----------------------------------|--------|
| Name (Print/Type) | Frank V. DeRosa        | Registration No. (Attorney/Agent) | 43,584 |
| Signature         | <i>Frank V. DeRosa</i> | Date                              | 6/5/00 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

Assistant Commissioner for Patents  
Washington, D.C. 20231  
Sir:

ATTORNEY DOCKET: YOR9-2000-0093US1 (8728-357)  
Date: June 5, 2000  
Express Mail Label: EL434031878US  
Date of Deposit: June 5, 2000

Transmitted herewith for filing is the Patent Application of:

Inventors: Upendra V. Chaudhari, Ganesh N. Ramaswamy

For: SYSTEM AND METHOD FOR CONFIDENCE BASED INCREMENTAL ACCESS AUTHENTICATION

Enclosed are: [X] 26 sheets of specification; [X] 1 sheet(s) of Abstract; [X] 8 sheet(s) of claims; [X] 6 sheet(s) of drawing(s);

[X] An assignment of the invention to International Business Machines Corporation with Recordation Form.

[X] Declaration and Power of Attorney.

[ ] A certified copy of a \_\_\_\_\_ application, from which priority under Title 35 USC §119 is claimed.

[X] Associate Power of Attorney.

The filing fee has been calculated as shown below:

(Col. 1) (Col. 2)

OTHER THAN A  
SMALL ENTITY

| FOR:                                     | NO. FILED | NO. EXTRA |
|--|-----------|-----------|
| BASIC FEE                                |           |           |
| TOTAL CLAIMS                             | 28 -20 =  | 8         |
| INDEP CLAIMS                             | 3 -3 =    | 0         |
| ____ MULTIPLE DEPENDENT CLAIMS PRESENTED |           |           |

| RATE     | FEE       |
|----------|-----------|
|          | \$690.00  |
| X \$18 = | 144.00    |
| X \$78 = | 0         |
| + 260 =  |           |
| TOTAL    | \$ 834.00 |

If the difference in Col. 1 is less than zero, enter "0" in Col. 2.

[ ] A check in the amount of \$\_\_\_\_\_ to cover the [ ] filing fee(s), [ ] recording fee is enclosed.

[X] Please charge my Deposit Account No. 50-0510/IBM (Yorktown Heights) in the amount of \$834.00 to cover the filing fees.

[X] The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0510/IBM (Yorktown Heights). A duplicate copy of this sheet is enclosed.

[X] Any additional filing fees required under 37 CFR 1.16.

[X] Any patent application processing fees under 35 CFR 1.17.

Respectfully submitted,

By:

Frank V. DeRosa  
Frank V. DeRosa  
Registration No. 43,584

Please address all  
correspondence to:

F. CHAU & ASSOCIATES, LLP  
1900 Hempstead Tpke., Suite 501  
East Meadow, NY 11554  
Tel: (516) 357-0091  
Fax: (516) 357-0092

Attorney for:  
IBM Corporation  
Intellectual Property Law Dept.  
P.O. Box 218  
Yorktown Heights, NY 10598

**CERTIFICATION UNDER 37 C.F.R. §1.10**

I hereby certify that this Application transmittal and documents referred to as enclosed are being deposited with the United States Postal Service on this date June 5, 2000 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EL434031878US addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Frank V. DeRosa  
Frank V. DeRosa

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09/588521



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# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$ 874.00

## Complete if Known

|                      |                              |
|----------------------|------------------------------|
| Application Number   |                              |
| Filing Date          | June 5, 2000                 |
| First Named Inventor | Chaudhari et al.             |
| Examiner Name        |                              |
| Group / Art Unit     |                              |
| Attorney Docket No.  | YOR9-2000-0093US1 (8728-357) |

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 50-0510/IBM

Deposit Account Name IBM/Yorktown Heights

☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

2. ☐ Payment Enclosed:  
☐ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Code | Fee Code | Fee Description        | Fee Paid |
|--------------|--------------|----------|----------|------------------------|----------|
| 101          | 201          | 690      | 345      | Utility filing fee     | 690      |
| 106          | 206          | 310      | 155      | Design filing fee      |          |
| 107          | 207          | 480      | 240      | Plant filing fee       |          |
| 108          | 208          | 690      | 345      | Reissue filing fee     |          |
| 114          | 214          | 150      | 75       | Provisional filing fee |          |

SUBTOTAL (1) (\$ 690.00

### 2. EXTRA CLAIM FEES

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 28                 | 20**         | 8              | 144      |
| 3                  | 3**          | 0              | 0        |
| Multiple Dependent |              | 260            |          |

\*\*or number previously paid, if greater; For Reissues, see below

| Large Entity | Small Entity | Fee Code | Fee Code | Fee Description  | Fee Paid |
|--------------|--------------|----------|----------|--|----------|
| 103          | 203          | 18       | 9        | Claims in excess of 20                                     |          |
| 102          | 202          | 78       | 39       | Independent claims in excess of 3                          |          |
| 104          | 204          | 260      | 130      | Multiple dependent claim, if not paid                      |          |
| 109          | 209          | 78       | 39       | ** Reissue independent claims over original patent         |          |
| 110          | 210          | 18       | 9        | ** Reissue claims in excess of 20 and over original patent |          |

SUBTOTAL (2) (\$ 144.00

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity | Small Entity | Fee Code | Fee Code | Fee Description  | Fee Paid |
|--------------|--------------|----------|----------|--|----------|
| 105          | 205          | 130      | 65       | Surcharge - late filing fee or oath  |          |
| 127          | 227          | 50       | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139          | 239          | 130      | 130      | Non-English specification  |          |
| 147          | 247          | 2,520    | 2,520    | For filing a request for reexamination                                     |          |
| 112          | 212          | 920*     | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 113          | 213          | 1,840*   | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 115          | 215          | 110      | 55       | Extension for reply within first month                                     |          |
| 116          | 216          | 380      | 190      | Extension for reply within second month                                    |          |
| 117          | 217          | 870      | 435      | Extension for reply within third month                                     |          |
| 118          | 218          | 1,360    | 680      | Extension for reply within fourth month                                    |          |
| 128          | 228          | 1,850    | 925      | Extension for reply within fifth month                                     |          |
| 119          | 219          | 300      | 150      | Notice of Appeal   |          |
| 120          | 220          | 300      | 150      | Filing a brief in support of an appeal                                     |          |
| 121          | 221          | 260      | 130      | Request for oral hearing   |          |
| 138          | 238          | 1,510    | 1,510    | Petition to institute a public use proceeding                              |          |
| 140          | 240          | 110      | 55       | Petition to revive - unavoidable   |          |
| 141          | 241          | 1,210    | 605      | Petition to revive - unintentional   |          |
| 142          | 242          | 1,210    | 605      | Utility issue fee (or reissue)   |          |
| 143          | 243          | 430      | 215      | Design issue fee   |          |
| 144          | 244          | 580      | 290      | Plant issue fee  |          |
| 122          | 222          | 130      | 130      | Petitions to the Commissioner  |          |
| 123          | 223          | 50       | 50       | Petitions related to provisional applications                              |          |
| 126          | 226          | 240      | 240      | Submission of Information Disclosure Stmt                                  |          |
| 581          | 2581         | 40       | 40       | Recording each patent assignment per property (times number of properties) | 40       |
| 146          | 246          | 690      | 345      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149          | 249          | 690      | 345      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00

## SUBMITTED BY

|                   |                 |                                   |        |           |                |
|-------------------|-----------------|-----------------------------------|--------|-----------|----------------|
| Name (Print/Type) | Frank V. DeRosa | Registration No. (Attorney/Agent) | 43,584 | Telephone | (516) 357-0091 |
| Signature         |                 | Date                              | 6/5/00 |           |                |

## WARNING:

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